

DOCKET NO.: UPN-3832

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:  
Mark I. Green et al.

Serial No.: 09/627,775

Filing Date: July 28, 2000

Group Art Unit: Not yet assigned

Examiner: Not yet assigned

For: METHODS OF INHIBITING OSTEOCLASTOGENESIS

DATE OF DEPOSIT: 10/16/2000

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Gwilym J. O. Attwell  
REGISTRATION NO.: 45,449

REFUND SECTION, ACCOUNTING DIVISION, OFFICE OF FINANCE  
Assistant Commissioner for Patents  
Washington DC 20231

REQUEST FOR REFUND

Enclosed please find a copy of the "Monthly Statement of Deposit Account" which was received in connection with the above-identified U.S. patent application. Our Deposit Account was charged \$93.00 for Fee Code 101 (Basic Filing Fee) and \$504.00 for Fee Code 103 (Claims in excess of twenty). Please note that these fees were already paid by check number 0095613 on July 28, 2000 in the amount of \$597.00. This application is entitled to Small Entity Status, as evidenced by the enclosed Small Entity Statements, (one for the University of Pennsylvania, and one for Yale University). A copy of the Submission of Verified Statements to Establish Small Entity Status is also enclosed.

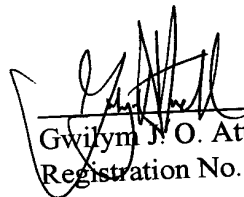
**PATENT**

**DOCKET NO.: UPN-3832**

- 2 -

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Date: 10/16/2000

  
Gwilym J. O. Attwell  
Registration No. 45,449

Woodcock Washburn Kurtz  
Mackiewicz & Norris LLP  
One Liberty Place - 46th Floor  
Philadelphia PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439

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Mark I. Greene et al.

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Group Art Unit: Not yet assigned

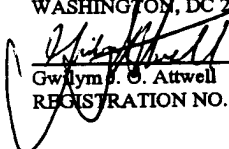
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REGISTRATION NO.: 45,449

Assistant Commissioner for Patents  
Washington DC 20231

**SUBMISSION OF VERIFIED STATEMENTS  
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The attached statement is being submitted to establish Small Entity Status in this

☒ application

☐ patent

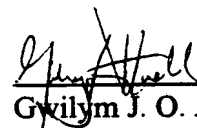
*(check all applicable boxes below)*

☐ Independent inventor(s) - 37 CFR 1.9(c) and 1.27(b)

☐ Non-inventor supporting claim by another - 37 CFR 1.9(c) and 1.27(b)

- ☐ Small Business Concern - 37 CFR 1.9(d) and 1.27(c)
- ☒ Non-Profit Organization - 37 CFR 1.9(e) and 1.27(d)

Date: 9/29/2000

  
Gwilym J. O. Attwell  
Registration No. 45,449

Woodcock Washburn Kurtz  
Mackiewicz & Norris LLP  
One Liberty Place - 46th Floor  
Philadelphia PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439

**Applicant or Patentee: Mark I. Greene, Ramachandran Murali, Kazuhiro Aoki, William Carle Horne and Roland Baron**

**Serial or Patent No.: 09/627,775**

**Attorney's Docket No.: UPN-3832**

**Date Filed or Issued: July 28, 2000**

**For: METHODS OF INHIBITING OSTEOCLASTOGENESIS**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

**NAME OF ORGANIZATION  
ADDRESS OF ORGANIZATION**

**University of Pennsylvania  
3700 Market Street, Suite 300  
Philadelphia, PA 19104-3147**

**TYPE OF ORGANIZATION:**

☒ **UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION**

☐ **TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))**

☐ **NONPROFIT SCIENTIFIC OR EDUCATIONAL ORGANIZATION  
QUALIFIED UNDER A NONPROFIT ORGANIZATION STATUTE OF A  
STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_)**

☐ **WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE  
SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE  
UNITED STATES OF AMERICA**

☐ **WOULD QUALIFY AS A NONPROFIT SCIENTIFIC OR EDUCATIONAL  
ORGANIZATION QUALIFIED UNDER A NONPROFIT ORGANIZATION  
STATUTE OF A STATE OF THE UNITED STATES OF AMERICA IF  
LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_)**

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled **METHODS OF INHIBITING OSTEOCLASTOGENESIS** by inventor(s) **Mark I. Greene, Ramachandran Murali, Kazuhiro Aoki, William Carle Horne and Roland Baron** described in



( ) the specification filed herewith.  
(XX) application serial no. 09/627,775, filed July 28, 2000  
( ) patent no.     , issued     

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

**\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)**

**FULL NAME:** Yale University  
**ADDRESS:** 155 Whitney Avenue, Room 210  
P.O. Box 208336  
New Haven, CT 06520-8336

**( ) INDIVIDUAL ( ) SMALL BUSINESS CONCERN (X) NONPROFIT ORGANIZATION**

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

**NAME OF PERSON SIGNING**  
**TITLE IN ORGANIZATION**  
**ADDRESS OF PERSON SIGNING**

Alfred J. Glessner  
Director of Operations and Licensing

  
SIGNATURE

27 SEP 2000  
DATE

Applicant or Patentee: Mark I. Greene, Ramachandran Murali, Kazuhiro Aoki, William Carle Horne and Roland Baron

Serial or Patent No.: 09/627,775

Attorney's Docket No.: UPN-3832

Date Filed or Issued: July 28, 2000

For: **METHODS OF INHIBITING OSTEOCLASTOGENESIS**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

**NAME OF ORGANIZATION**  
**ADDRESS OF ORGANIZATION**

Yale University  
155 Whitney Avenue, Room 210  
P.O. Box 208336  
New Haven, CT 06520-8336

**TYPE OF ORGANIZATION:**

- ☒ **UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION**
- ☐ **TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))**
- ☐ **NONPROFIT SCIENTIFIC OR EDUCATIONAL ORGANIZATION QUALIFIED UNDER A NONPROFIT ORGANIZATION STATUTE OF A STATE OF THE UNITED STATES OF AMERICA**  
(NAME OF STATE \_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_)
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- ☐ **WOULD QUALIFY AS A NONPROFIT SCIENTIFIC OR EDUCATIONAL ORGANIZATION QUALIFIED UNDER A NONPROFIT ORGANIZATION STATUTE OF A STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA**  
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( ) patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e)

**\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.  
(37 CFR 1.27)**

**FULL NAME:** University of Pennsylvania  
**ADDRESS:** 3700 Market Street, Suite 300  
Philadelphia, PA 19104-3147

**( ) INDIVIDUAL ( ) SMALL BUSINESS CONCERN (X) NONPROFIT ORGANIZATION**

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.  
(37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

**NAME OF PERSON SIGNING**  
**TITLE IN ORGANIZATION**  
**ADDRESS OF PERSON SIGNING**

Kara McCarthy Casey, Esq.  
Manager, Intellectual Property Affairs

Kara McCarthy Casey  
**SIGNATURE**

9/12/00  
**DATE**